FORM D

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

FORM D

NOTICE OF SALE OF SECURITIES PURSUANT TO REGULATION D, SECTION 4(6), AND/OR UNIFORM LIMITED OFFERING EXEMPTION

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OMB NUMBER:

3235-0076

Expires:

Prefix

November 30, 2001

Estimated average burden

hours per response......16.00

Name of Offering (check if this is an amendment and name has changed, and indicate change.) Membership Interests Filing Under (Check box(es) that apply): □ Rule 504 □ Rule 505 ■ Rule 506 □ Section 4(6) □ ULOE Type of Filing: ■ New Filing □ Amendment A. BASIC IDENTIFICATION DATA 1. Enter the information requested about the issuer Name of Issuer (check if this is an amendment and name has changed, and indicate change.) Ridgewood Capital Fund IV-B, LLC Address of Executive Offices (Number and Street, City, State, Zip Code) Telephone Number (Including 201-447-9000 947 Linwood Avenue, Ridgewood, NJ 07450 Telephone Number (Including Area Code) Address of Principal Business Operations (if (Number and Street, City, State, Zip Code) different from Executive Offices) Brief Description of Business: To make venture capital investments Type of Business Organization ■ other (please specify): limited liability compan □ corporation □ limited partnership, already formed □ business trust □ limited partnership, to be formed Month Year Actual or Estimated Date of Incorporation or Organization 05 □ Estimated Actual Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbreviation for State: CN for Canada; FN for other foreign jurisdiction)

GENERAL INSTRUCTIONS

Federal:

Who Must File: All issuers making an offering of securities in reliance on an exemption under Regulation D or Section 4(6), 17 CFR 230.501 et seq. or 15 USC 77d(6).

When To File: A notice must be filed no later than 15 days after the first sale of securities in the offering. A notice is deemed filed with the U.S. Securities and Exchange Commission (SEC) on the earlier of the date it is received by the SEC at the address given below or, if received at that address after the date on which it is due, on the date it was mailed by United States registered or certified mail to that address.

When to File: U.S. Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549.

Copies Required: Five (5) copies of this notice must be filed with the SEC, one of which must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.

Information Required: A new filing must contain all information requested. Amendments need only report the name of the issuer and offering, any changes thereto, the information requested in Part C, and any material changes from the information previously supplied in Parts A and B. Part E and the Appendix need not be filed with the SEC.

Filing Fee: There is no federal filing fee.

State: This notice shall be used to indicate reliance on the Uniform Limited Offering Exemption (ULOE) for sales of securities in those states that have adopted ULOE and that have adopted this form. Issuers relying on ULOE must file a separate notice with the Securities Administrator in each state where sales are to be, or have been made. If a state requires a payment of a fee as a precondition to the claim for the exemption, a fee in the proper amount shall accompany this form. This notice shall be filed in the appropriate states in accordance with state law. The Appendix to the notice constitutes a part of this notice and must be completed.

ATTENTION

Failure to file notice in the appropriate states will not result in a loss of the federal exemption. Conversely, failure to file the appropriate federal notice will not result in a loss of an available state exemption unless such exemption is predicated on the filing of a federal notice.

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		A. BASIC IDENT	IFICATION DATA		
Enter the information requested for t Each promoter of the issuer, if Each beneficial owner having t Each executive officer and dire Each general and managing par	the issuer has be he power to vote ctor of corporate	e or dispose, or direct the e issuers and of corporate	vote or disposition of, 10	% or more of a cl	ass of equity securities of the issuer; hip issuers; and
Check Box(es) that Apply:	■ Promoter	■ Beneficial Owner	☐ Executive Officer	□ Director	■ Manager
Full Name (Last name first, if individual)					
Ridgewood Capital Management LLC Business or Residence Address	Olshares d	Street, City, State, Zip Co	J.\		
Business of Residence Address	(Number and)	Street, City, State, Zip Co	ae)		
947 Linwood Avenue, Ridgewood, NJ 0	7450				
Check Box(es) that Apply:	■ Promoter	■ Beneficial Owner	■ Executive Officer	□ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)					
Swanson, Robert E.					
Business or Residence Address	(Number and	Street, City, State, Zip Co	de)		
947 Linwood Avenue, Ridgewood, NJ 0	7450				
Check Box(es) that Apply:	☐ Promoter	☐ Beneficial Owner	■ Executive Officer	☐ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)					
Gold. Robert L.					
Business or Residence Address	(Number and S	Street, City, State, Zip Coo	de)		
		, , ,	,		
947 Linwood Avenue, Ridgewood, NJ 0'					
Check Box(es) that Apply:	☐ Promoter	☐ Beneficial Owner	■ Executive Officer	☐ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)					
Strasberg, Jeffrey H.					
Business or Residence Address	(Number and S	Street, City, State, Zip Coo	de)		
		•			
947 Linwood Avenue, Ridgewood, NJ 0					
Check Box(es) that Apply:	☐ Promoter	☐ Beneficial Owner	■ Executive Officer	□ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)					
Gulino, Daniel V.					
Business or Residence Address	(Number and	Street, City, State, Zip Co	de)	·	
047 Linuxand Avenue Didgewood NI 0	7450				
947 Linwood Avenue, Ridgewood, NJ 0 Check Box(es) that Apply:	□ Promoter	☐ Beneficial Owner	■ Executive Officer	□ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)	□ Floiliotei	Denencial Owner	Executive Officer	a Director	d octoral altered Wallaging Lattice
Tun Pane (Lust hame hist, if morridal)					
Golden, Leslie					
Business or Residence Address	(Number and	Street, City, State, Zip Co	ode)		
947 Linwood Avenue, Ridgewood, NJ	7450				
Check Box(es) that Apply:	☐ Promoter	☐ Beneficial Owner	■ Executive Officer	□ Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)	<u> </u>	Beneficial Owner	= Excedite officer	<u> </u>	
Majek, Warren					
Business or Residence Address	(Number and	Street, City, State, Zip Co	ode)		
947 Linwood Avenue, Ridgewood, NJ 0	7450				
Check Box(es) that Apply:	□ Promoter	□ Beneficial Owner	■ Executive Officer	□ Director	□ General and/or Managing Partner
Full Name (Last name first, if individual)					
Sherwin, Elton					
Business or Residence Address	(Number and	Street, City, State, Zip Co	ode)		
047 Linwood Avenue Pidgewood NI (7450				

	B. INFORMATION ABOUT OFFERING		
		Yes	No
1.	Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering?		•
	Answer also in Appendix, Column 2, if filing under ULOE.		
2.	What is the minimum investment that will be accepted from any individual?	\$	200,000
		Yes	No
3.	Does the offering permit joint ownership of a single unit?	=	
4.	Enter the information requested for each person who has been or will be paid or given, directly or indirectly, any commission or similar remuneration for solicitation of purchasers in connection with sales of securities in the offering. If a person to be listed is an associated person or agent of a broker or dealer registered with the SEC and/or with a state or states, list the name of the broker or dealer. If more than five (5) persons to be listed are associated persons of such a broker or dealer, you may set forth the information for that broker or dealer only.		
See	Name (Last name first, if individual) Attached		
Busi	ness or Residence Address (Number and Street, City, State, Zip Code)		
Nam	ne of Associated Broker or Dealer		
State	es in which Person Listed Has Solicited or Intends to Solicit Purchasers		-
	(Check "All States" or check individual States)	All States	
_ [AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO] _ [CT] _ [DE] _ [DC] _ [FL] _ [GA] IL] _ [IN] _ [IA] _ [KS] _ [KY] _ [LA] _ [ME] _ [MD] _ [MA] _ [MI] _ [MN] MT] _ [NE] _ [NV] _ [NH] _ [NJ] _ [NM] _ [NY] _ [NC] _ [ND] _ [OH] _ [OK] RI] _ [SC] _ [SD] _ [TN] _ [TX] _ [UT] _ [VT] _ [VA] _ [WA] _ [WV] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]

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Full name (Last	name first	, if individua	al)	D. II	TORMA	IION AB	our orri	EKIITO				
Business or Res 26637 W. Ago					e, Zip Code))			****			
Name of Associ												
States in which	Person Lis	ted Has Soli	cited or Inten	ds to Solicit	Purchasers							
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Full Name (Las Taylor, Willian		t, if individu	al)									
Business or Res												
Name of Associ Advanced Plan												
States in which (Ch			cited or Inten ck individual								All States	
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Full name (Last Dyer, David	name first	, if individua	al)									
Business or Res PO Box 4025,			aber and Stree	et, City, Stat	e, Zip Code))						
Name of Associ					`							
States in which	Person Lis	ted Has Soli	cited or Inten	ds to Solicit	Purchasers				- ".			
(Ch	eck "All St	ates" or che	ck individual	States)	•••••						All States	
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Full name (Last Kittlaus, Clyst		, if individua	al)									
Business or Res 10391 Creeked				et, City, Star	e, Zip Code)				-		
Name of Assoc Alliance Affilia												
States in which	Person Lis	sted Has Soli	cited or Inten	ds to Solicit	Purchasers				·			
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Full name (Last name first, if individual) Seeherman, Marc	
Business or Residence Address (Number and Street, City, State, Zip Code) 32 Weset 40 th Street, New York, NY 10018	
Name of Associated Broker or Dealer Alliance Affiliated Equities Corp.	
States in which Person Listed Has Solicited or Intends to Solicit Purchasers	
(Check "All States" or check individual States)	All States
_ [AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO] _ [CT]	_ [HI] _ [ID] _ [MS] _ [MO] _ [OR] _ [PA] _ [WY] _ [PR]
Full Name (Last name first, if individual) Bishop, Benjamin	
Business or Residence Address (Number and Street, City, State, Zip Code) Suite 3625, 50 North Laura St., Jacksonville, FL 32202	
Name of Associated Broker or Dealer Allen C. Ewing & Company	
States in which Person Listed Has Solicited or Intends to Solicit Purchasers	
(Check "All States" or check individual States)	All States
_ [AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO] _ [CT] _ [DE] _ [DC] ■ [FL] _ [GA] _ [IL] _ [IN] _ [IA] _ [KS] _ [KY] _ [LA] _ [ME] _ [MD] _ [MA] _ [MI] _ [MN] _ [MT] _ [MT] _ [NE] _ [NV] _ [NH] _ [NJ] _ [NM] _ [NY] _ [NC] _ [ND] _ [OH] _ [OK] _ [RI] _ [SC] _ [SD] _ [TN] _ [TX] _ [UT] _ [VT] _ [VA] _ [WA] _ [WV] _ [WI]	_ [HI] _ [ID] _ [MS] _ [MO] _ [OR] _ [PA] _ [WY] _ [PR]
Full Name (Last name first, if individual) Mahoney, John T.	
Business or Residence Address (Number and Street, City, State, Zip Code) Suite 3625, 50 North Laura St., Jacksonville, FL 32202	
Name of Associated Broker or Dealer Allen C. Ewing & Company	
States in which Person Listed Has Solicited or Intends to Solicit Purchasers	
(Check "All States" or check individual States)	All States
_ [AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO] _ [CT] _ [DE] _ [DC] ■ [FL] _ [GA] _ [IL] _ [IN] _ [IA] _ [KS] _ [KY] _ [LA] _ [ME] _ [MD] _ [MA] _ [MI] _ [MN] _ [MT] _ [NT] _ [NE] _ [NV] _ [NH] _ [NJ] _ [NM] _ [NY] _ [NC] _ [ND] _ [OH] _ [OK] _ [RI] _ [SC] _ [SD] _ [TN] _ [TX] _ [UT] _ [VT] _ [VA] _ [WA] _ [WV] _ [WI]	_ [HI] _ [ID] _ [MS] _ [MO] _ [OR] _ [PA] _ [WY] _ [PR]
Full name (Last name first, if individual) Hanson, James P.	
Business or Residence Address (Number and Street, City, State, Zip Code) James P. Hanson Accountancy Corp., 22973 Sutro Street, Hayward, CA 94541	
Name of Associated Broker or Dealer Archer Alexander Securities Corp.	
States in which Person Listed Has Solicited or Intends to Solicit Purchasers	
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Full name Orr, Brian	(Last name fin	rst, if individu	ıal)									
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Full name Rachlin, J	(Last name fi	rst, if individ	ual)	-								
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_ [IL] _ [MT] _ [RI] Full name Thompson Business c 244 Westo	_ [AK] _ [IN] _ [NE] _ [SC] (Last name fi	_ [AZ] _ [IA] _ [NV] _ [SD] rst, if individuals (Nuce, White Place)	eck individua _ [AR] _ [KS] _ [NH] _ [TN] ual)	States) [CA] [KY] [NJ] [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	■ [CT] _ [ME] ■ [NY] _ [VT]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [FL] _ [MI] _ [OH]	_ [GA] _ [MN] _ [OK]	_ [HI] _ [MS] _ [OR]	_ [MO] ■ [PA]
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Full name (Last name first, if individual) Donnadio, Anthony Business or Residence Address (Number and Street, City, State, Zip Code) 510 Broadhollow Road, Melville, NY 11747 Name of Associated Broker or Dealer **Basic Investors** States in which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)..... _ [CA] _ [CO] _ [CT] _ [DE] _ [DC] _ [GA] _ [AL] _ [AK] _ [AZ] _ [AR] _ [IL] _ [IN] _ [IA] _ [KS] _ [KY] _ [LA] _[ME] _ [MD1 _ [MA] _ [MI] _ [MN] _ [MS] _ [MO] _ [MT] _ [NE] _ [NV] _ [NH] _ [NJ] _ [NM] _[NY] _ [NC] _ [ND] _ [OH] _ [OK] _ [OR] _ [PA] _ [SD] _ [TN] _ [UT] _ [VA] _ [WV] _ [WI] _ [WÝ] _ [PR] _ [RI] ■ [SC] _ [TX] _ [VT] _ [WA] Full name (Last name first, if individual) Michitsch, Heidi Business or Residence Address (Number and Street, City, State, Zip Code) 115 East 87th St., New York, NY 10128 Name of Associated Broker or Dealer Berry-Shino Securities, Inc. States in which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)... All States _ [ID] ■ [CT] _ [DE1 _ [AK] **■** [AZ] _ [AR] ■ [CA] ■ [CO] [DC] [FL] ■ [GA] ίΗП _ [AL] _ [IN] _ [MS] _ [IA] _ [KS] _ [KY] _ [LA] _ [MA] _ [MN] ■ [IL] _[ME] ■ [MD] ■ [MI] _ [MO] _ [NH] _ [OH] _ [OK] _ [OR] _ [MT] _ [NE] _ [NV] _ [NJ] _ [NM] _ [NC] _ [ND] **■** [NY] ■ [PA] _ [WI] _ [WY] _ [RI] _ [SC] _ [SD] _ [TN] _ [TX] **■** [UT] _ [VT] _ [VA] ■ [WA] _ [WV] _ [PR] Full name (Last name first, if individual) Gold, Joel Business or Residence Address (Number and Street, City, State, Zip Code) 14500 Northside Blvd., Scottsdale, AZ 85260 Name of Associated Broker or Dealer Berry-Shino Securities, Inc. States in which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)..... All States _ [GA] _ [DE] _ [FL] _ [HI] _ [ID] _ [CO] _ [CT] _ [DC] _[AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [IN] _ [KY] _ [MD] _ [MI] _ [MN] _ [IA] _ [KS] _ [LA] _ [MA] _ [MS] _ [MO] _ [IL] _ [ME] _ [NH] _ [NM] _ [ND] _ [OH] _ [OK] _ [OR] _ [PA] _ [NE] _ [NV] ■ [NY] _ [NJ] _ [NC] [MT] _ [RI] _ [SC] _ [SD] _ [UT] _ [WA] _ [TN] _ [TX] _ [VT] _ [VA] _ [WV] _ [WI] _ [WY] _ [PR] Full Name (Last name first, if individual) Business or Residence Address (Number and Street, City, State, Zip Code) 701 Tama Street, Marion, IA 52302 Name of Associated Broker or Dealer Berthel Fisher & Co. Financial Services States in which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)..... □ All States _ [CT] _ [DE] _ [HI] ■ [CO] _ [DC] _ [ID] ■ [CA] **■** [FL] ■ [GA] ■ [AL] _ [AR] _ [AK] ■ [AZ] _ [MS] _ [KY] ■ [MI] _ [MN] _ [MO] ■ [IN] ■ [IA] **■** [KS] _ [LA] _ [ME] _ [MD] **■** [MA] _ [ND] _ [OR] ■ [NM] _ [OK] ■ [NV] ■ [NH] ■ [NY] **■** [PA] ■ [NJ] ■ [NC] ■ [OH] _ [MT] _ [NE] _ [WV] ■ [WI] _ [WY] _ [PR] **■** [SC] ■ [SD] ■ [TN] ■ [TX] _ [UT] _ [VT] ■ [VA] _ [WA] _ [RI]

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	r Residence A Dale Mabry H				, Zip Code)			<u> </u>			· <u> </u>	
	ssociated Bro Associates, Ir											
States in wh	hich Person L	isted Has So	licited or Inter	nds to Solicit	t Purchasers	 					<u>.</u>	
	(Check "All	States" or che	eck individual	States)				••••			All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	■ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] ■ [MA] _ [ND] ■ [WA]	■ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] [MO] _ [PA] _ [PR]
Full Name	(Last name fi	rst, if individ	ual)							<u> </u>		
	r Residence A				, Zip Code)							
	ssociated Bro e Investment											
	hich Person L (Check "All		licited or Inter								All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	■ [AZ] _ [IA] ■ [[NV] _ [SD]	_ [AR] _ [KS] • [NH] _[TN]	■ [CA] _ [KY] ■ [NJ] ■ [TX]	■ [CO] _ [LA] ■ [NM] _ [UT]	_ [CT] _ [ME] • [[NY] _ [VT]	_ [DE] [MD] _ [NC] [VA]	■[DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [[OH] _ [WV]	■ [[GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	■ [ID] _ [MO] ■ [PA] _ [PR]
Full Name Polakoff, V	(Last name fi	rst, if individ	ual)									
	r Residence A				, Zip Code)	-						
	ssociated Bro Research, Inc		•									
	hich Person L (Check "All		licited or Intereck individual								All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] • {NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Full Name Bjork, Dav	(Last name fi vid	rst, if individ	ual)									
	r Residence A port St., Bisi			eet, City, Sta	te, Zip Code)						
•	ssociated Bro nancial Servi											
States in w	hich Person L											-
	(Check "All	States" or ch	eck individua	States)							All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] = [ND] _ [WA]	_ [FL] _ [M]] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]

Business (or Residence	Address (Nu	mber and Str	eet, City, Sta	te, Zip Code)						
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Full Name Harris, D		irst, if individ	ual)		<u></u>							
		Address (Nu	mber and Str	eet, City, Sta	te, Zip Code)						
222 Mam	aroneck Ave.	., White Plair	ıs, NY 10602	2	-							
	Associated Bro Iarris & Co.	oker or Dealer	•									
States in v	vhich Person l	Listed Has So	licited or Inte	nds to Solici	t Purchasers							-
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						_ ()	- []	_ [WA]	_ [44 4]	_ [,,,1]	[** 1]	- [FK]
Full Name Harris, C	(Last name f	irst, if individ	ual)					_ [WA]	_ [** *]	_ [111]	(W1)	_ [FK]
Harris, C Business o	e (Last name f		mber and Str					_ [WA]	_ [₩ ٧]	_ [***1]	_ [\\ 1]	_ [FK]
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Harris, C Business of 222 Mam Name of A Chester F States in v _ [AL] _ [IL] _ [MT] _ [RI] Full Name Cole, Chr Business of 2555 East	c (Last name for Residence Aroneck Ave. Associated Br. Harris & Co. Which Person I [AK] [IN] [NE] [SC] c (Last name for residence Aroneck Ave.	Address (Nu., White Plair oker or Dealer Listed Has So. States" or che [AZ] [IA] [INV] [SD] Greet, if individ Address (Nu Road, Phoen	mber and Str is, NY 10602 licited or Inte eck individua _ [AR] _ [KS] _ [NH] _ [TN] ual)	CA	it Purchasers [CO] [LA] [NM] [UT]	_ [CT] _ [ME] ■ [NY] _ [VT]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_[FL] _ [MI] _ [OH]	[GA] [MN] [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MO] _ [PA]
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Harris, C Business of 222 Mam Name of A Chester F States in v _ [AL] _ [IL] _ [MT] _ [RI] Full Name Cole, Chr Business of 2555 East Name of A Cole Cap States in v	e (Last name finester or Residence Aroneck Ave. Associated Br. Harris & Co. which Person [NE] [NE] [SC] e (Last name finistopher or Residence Aroneck Associated Br. Associated Br. ital Corporation (Check "All	Address (Nu., White Plair oker or Dealer Listed Has So States" or che [AZ] [IA] [IV] [SD] Sirst, if individ Address (Nu Road, Phoen oker or Dealer tion Listed Has So	mber and Str s, NY 10602 licited or Inte eck individua _ [AR] _ [KS] _ [NH] _ [TN] ual) mber and Str ix, AZ 85016	ends to Solici States) [CA] [KY] [NJ] [TX] eet, City, Sta	it Purchasers _ [CO] _ [LA] _ [NM] _ [UT] ate, Zip Code	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_[FL] _ [MI] _ [OH] _ (WV]	[GA] [MN] [OK] [WI]	All States _ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Harris, C Business of 222 Mam Name of A Chester F States in v _ [AL] _ [IL] _ [MT] _ [RI] Full Name Cole, Chr Business of 2555 East Name of A Cole Cap	c (Last name for Residence Aroneck Ave. Associated Br. Harris & Co. Which Person I [NE] [SC] c (Last name for residence Aroneck Aroneck Aroneck Br. c (Check "All [NE] [SC] c (Last name for Residence Aroneck Aroneck Aroneck Aroneck Br. c (Check "All [NE] [SC] c (Last name for Residence Aroneck Aroneck Aroneck Aroneck Br. c (Check "All [NE] [SC] c (Last name for Residence Aroneck A	Address (Nu., White Plair oker or Dealer Listed Has So. States" or che [AZ] [IA] [INV] [SD] First, if individ Address (Nu Road, Phoen oker or Dealer tion Listed Has So	mber and Str s, NY 10602 licited or Inte eck individua _ [AR] _ [KS] _ [NH] _ [TN] ual) mber and Str ix, AZ 85010	nds to Solici States) [CA] [KY] [NJ] [TX] eet, City, Sta	it Purchasers _ [CO] _ [LA] _ [NM] _ [UT] ate, Zip Code	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_[FL] _ [MI] _ [OH] _ [WV]	[GA] [MN] [OK] [WI]	All States _ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA]

Full Name (Last name first, if individual)	
Business or Residence Address (Number and Street, City, State, Zip Code)	
One University Office Park, Waltham, MA 02453	
Name of Associated Broker or Dealer	
Commonwealth Financial Network	
States in which Person Listed Has Solicited or Intends to Solicit Purchasers	
(Check "All States" or check individual States)	
_ [AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO] _ [CT] _ [DE] _ [DC] _ [FL] _ [GA] _ [HI] _ [ID] _ [IL] _ [IN] _ [IN] _ [IA] _ [KS] _ [KY] _ [LA] _ [ME] _ [MD] _ [MA] _ [MI] _ [MN] _ [MS] _ [MC] _ [MT] _ [NE] _ [NV] _ [NH] _ [NJ] _ [NM] _ [NY] _ [NC] _ [ND] _ [OH] _ [OK] _ [OR] _ [PA] _ [RI] _ [SC] _ [SD] _ [TN] _ [TX] _ [UT] _ [VT] _ [VA] _ [WA] _ [WA] _ [WV] _ [WI] _ [WY] _ [PR])]
Full Name (Last name first, if individual) Boeck, George	
Business or Residence Address (Number and Street, City, State, Zip Code) Washington Asset Management, 11400 SE 8thSt., Bellevue, WA 98004	
Name of Associated Broker or Dealer	
Concord Equity Group	
States in which Person Listed Has Solicited or Intends to Solicit Purchasers	
(Check "All States" or check individual States)	
_[AL] _[AK] _[AZ] _[AR] _[CA] _[CO] _[CT] _[DE] _[DC] _[FL] _[GA] _[HI] _[ID] _[IL] _[IL] _[IN] _[IN] _[KS] _[KY] _[LA] _[ME] _[MD] _[MD] _[MA] _[MI] _[MN] _[MS] _[MC] _[MT] _[NE] _[NV] _[NH] _[NJ] _[NM] _[NY] _[NC] _[ND] _[OH] _[OK] _[OR] _[PA] _[RI] _[SC] _[SD] _[TN] _[TX] _[UT] _[VT] _[VA] _[WA] _[WA] _[WV] ■ [WI] _[WY] _[PR])]]
Full Name (Last name first, if individual) Oswald, Thomas	
Business or Residence Address (Number and Street, City, State, Zip Code) 75 Fox Chase Road, Far Hills, NJ 07931	
Name of Associated Broker or Dealer	
Concord Equity Group	
States in which Person Listed Has Solicited or Intends to Solicit Purchasers	
(Check "All States" or check individual States)	
_[AL] _[AK] _[AZ] _[AR] _[CA] _[CO] _[CT] _[DE] _[DC] _[FL] _[GA] _[HI] _[ID] _[IL] _[IL] _[IL] _[IN] _[IL] _[IN] _[IL] _[IN] _[IN] _[MN])]
Full Name (Last name first, if individual) Stiassni, Michael	
Business or Residence Address (Number and Street, City, State, Zip Code) Cambridge Invesetment Research, 101 Peachcroft Rd, Bernardsville, NJ 07924	
Name of Associated Broker or Dealer	
Concord Equity Group	
States in which Person Listed Has Solicited or Intends to Solicit Purchasers	
(Check "All States" or check individual States)	
_[AL] _[AK] _[AZ] _[AR] _[CA] _[CO] _[CT] _[DE] _[DC] _[FL] _[GA] _[HI] _[ID] _[IL] _[IL] _[IN] _[IN] _[IN] _[KS] _[KY] _[LA] _[ME] _[MD] _[MA] _[MI] _[MI] _[MN] _[MS] _[MC] _[MT] _[NE] _[NV] _[NV] _[NV] _[NV] _[NV] _[NV] _[NV] _[NV] _[NV] _[OH] _[OK] _[OR] _[PR] _[RI] _[SC] _[SD] _[TN] _[TX] _[UT] _[VT] _[VA] _[WA] _[WA] _[WV] _[WI] _[WY] _[PR])] 4]

Full Name	(Last name f	irst, if indivic	lual)									
Business o	r Residence A	Address (Num	nber and Stree	t City State	Zin Code)							
			ge, CA 92868		, zip code)							
Name of A		oker or Deale	r	-		 						<u></u>
· · · · · · · · · · · · · · · · · · ·		d 11 C .	P-S-d - T	- 1 C-11-1	4 D 1							
States in w			licited or Inte eck individua			•••••	• • • • • • • • • • • • • • • • • • • •				All States	
_[AL]	_ [AK]	■ [AZ]	_ [AR]	■ [CA]	■ [CO]	■ [CT]	_ [DE]	_ [DC]	■ [FL]	■ [[GA]	_ [[HI]	_ [ID]
	_ [IN]	_ [IA]	■ [KS]	_ [KY]	■ [LA]	_ [ME]	_ [MD]	_ [MA]	_ [MI]	_ [MN]	_ [MS]	■ [MO]
_ [MT] _ [RI]	■ [NE] _ [SC]	■ [NV] _ [SD]	_ [NH] ■ [[TN]	■ [NJ] _ [TX]	_ [NM] _ [UT]	_ [NY] _ [VT]	■ [NC] ■ [VA]	_ [ND] ■ [WA]	_ [OH] _ [WV]	_ [OK] _ [WI]	■ [OR] _ [WY]	_ [PA] _ [PR]
Full Name Coughlin,	•	irst, if individ	lual)									
			mber and Stre	eet, City, Sta	te, Zip Code)						
		Lewisburg, P										
		oker or Dealer	r									
	Burks Secui											
States in wl	hich Person I	Listed Has So	licited or Inter	nds to Solici	t Purchasers							
	(Check "All	States" or ch	eck individual	l States)	•••••						All States	
_ [AL] _ [IL]	_ [AK] _ [IN]	_ [AZ] _ [IA]	_ [AR] _ [KS]	_ [CA] _ [KY]	_ [CO] _ [LA]	_ [CT] _ [ME]	_ [DE] _ [MD]	_ [DC] _ [MA]	_ [[FL] _ [MI]	_ [GA] _ [MN]	_ [HI] _ [MS]	_ [ID] _ [MO]
_ [MT]	_ [NE]	_ [NV]	_ [NH]	_ [NJ]	_ [NM]	_ [[NY]	_ [NC]	_ [ND]	_ [OH]	_ [OK]	_ [OR]	_ [MO] ■ [PA]
_ [RI]	_ [SC]	_ [SD]	_ [TN]	_ [TX]	_ [UT]	_ [VT]	_ [VA]	_ [WA]	_ [WV]	_ [WI]	_ [WY]	_ [PR]
Full Name Harris, Ch	(Last name fi	irst, if individ	lual)				_ [VA]	_ [WA]	_ [WV]	_ [WI]	_ [WY]	_ [PR]
Full Name Harris, Ch Business or	(Last name frester	irst, if individ		eet, City, Sta			_ [VA]	_ [WA]	_ [WV]	_ [WI]	_ [WY]	_ [PR]
Full Name Harris, Ch Business or 222 Mama	(Last name finester r Residence Aroneck Ave.	irst, if individ	lual) imber and Strans, NY 10602	eet, City, Sta			_ [VA]	_ [WA]	_ [WV]	_ [WI]	_ [WY]	_ [PR]
Full Name Harris, Ch Business or 222 Mama	(Last name frester r Residence Aroneck Ave.	irst, if individ Address (Nu , White Plair	lual) imber and Strans, NY 10602	eet, City, Sta			_ [VA]	_ [WA]	_ [WV]	_ [WI]	_ [WY]	_ [PR]
Full Name Harris, Ch Business or 222 Mama Name of As David Har	(Last name factor Residence Ave. ssociated Brownia & Co.	irst, if individ Address (Nu ., White Plair oker or Dealer	lual) imber and Strans, NY 10602	eet, City, Sta	te, Zip Code		_ [VA]	_ [WA]	_ [WV]	_ [WI]	_ [WY]	_ [PR]
Full Name Harris, Ch Business or 222 Mama Name of As David Har	(Last name finester r Residence Ave. ssociated Broris & Co. hich Person I	Address (Nu, White Plain Oker or Dealer Listed Has So	lual) imber and Stre ns, NY 10602	eet, City, Sta	te, Zip Code)						_ [PR]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl	(Last name finester r Residence Ave. ssociated Broveris & Co. hich Person I (Check "All [AK]	Address (Nu, White Plain Oker or Dealer Listed Has So States" or ch	umber and Streams, NY 10602 r dicited or Intereck individual	nds to Solici	te, Zip Code t Purchasers	_ [CT]	_ [DE]	_ [DC]	_ [[FL]		All States	_ [ID]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl _ [AL] _ [IL]	(Last name finester r Residence Ave. ssociated Broris & Co. hich Person I (Check "All [AK] [IN]	Address (Nu., White Plain Oker or Dealer Listed Has So States" or ch [AZ] [IA]	umber and Streams, NY 10602 To dicited or Interest individual [AR] [KS]	nds to Solici States) [CA] [KY]	te, Zip Code t Purchasers _ [CO] _ [LA]	_ [CT] _ [ME]	_ [DE]	_ [DC]			All States _ [HI] _ [MS]	_ [ID] _ [MO]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl	(Last name finester r Residence Ave. ssociated Broveris & Co. hich Person I (Check "All [AK]	Address (Nu, White Plain Oker or Dealer Listed Has So States" or ch	umber and Streams, NY 10602 r dicited or Intereck individual	nds to Solici	te, Zip Code t Purchasers	_ [CT]	_ [DE]	_ [DC]	_ [[FL] _ [MI]		All States	_ [ID]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl _ [AL] _ [IL] _ [MT] _ [RI] Full Name	(Last name finester r Residence Ave. ssociated Bromis & Co. hich Person I (Check "All [AK] [IN] [NE] [SC] (Last name f	Address (Nu., White Plain Oker or Dealer Listed Has So States" or ch [AZ] [IA] [NV]	lual) Imber and Streams, NY 10602 r dicited or Interect individual _ [AR] _ [KS] _ [NH] _ [TN]	nds to Solici States) [CA] [KY]	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM]	_ [CT] _ [ME] _ [(NY)	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [[FL] _ [MI] _ [OH]	[GA] _ [MN] _ [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MO] _ [PA]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl _ [AL] _ [IL] _ [MT] _ [RI] Full Name Harris, Da Business or	(Last name finester r Residence Ave. ssociated Brownis & Co. hich Person I (Check "All [IN] [NE] [SC] (Last name finitid	Address (Nu, White Plain Oker or Dealer Listed Has So States" or ch [AZ] [IA] [NV] [SD] Tirst, if individ	lual) Imber and Streams, NY 10602 r dicited or Interect individual _ [AR] _ [KS] _ [NH] _ [TN]	nds to Solici States) [CA] [KY] [NJ] [TX]	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [{NY} _ [VT]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [[FL] _ [MI] _ [OH]	[GA] _ [MN] _ [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MO] _ [PA]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl _ [AL] _ [IL] _ [MT] _ [RI] Full Name Harris, Da Business or 222 Mama	(Last name finester r Residence Ave. ssociated Brownie & Co. hich Person I (Check "All [AK] [IN] [NE] [SC] (Last name finite are finite ave. (Check Ave.	Address (Nu, White Plain Oker or Dealer Listed Has So States" or ch [AZ] [IA] [NV] [SD] Tirst, if individ	lual) Imber and Stream, NY 10602 Included or Interest individual [AR] [KS] [NH] [TN] Idual) Imber and Stream, NY 10602	nds to Solici States) [CA] [KY] [NJ] [TX]	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [{NY} _ [VT]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [[FL] _ [MI] _ [OH]	[GA] _ [MN] _ [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MO] _ [PA]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl _ [AL] _ [IL] _ [MT] _ [RI] Full Name Harris, Da Business or 222 Mama Name of A	(Last name finester r Residence Ave. ssociated Brownis & Co. hich Person I (Check "All [IN] [NE] [SC] (Last name finited r Residence Ave. ssociated Brownid	Address (Nu, White Plain Listed Has So States" or ch [AZ] [IA] [INV] [SD] Trst, if individant	lual) Imber and Stream, NY 10602 Included or Interest individual [AR] [KS] [NH] [TN] Idual) Imber and Stream, NY 10602	nds to Solici States) [CA] [KY] [NJ] [TX]	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [{NY} _ [VT]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [[FL] _ [MI] _ [OH]	[GA] _ [MN] _ [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MO] _ [PA]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl _ [AL] _ [IL] _ [MT] _ [RI] Full Name Harris, Da Business or 222 Mama Name of As David Har	(Last name finester r Residence Ave. ssociated Brownis & Co. hich Person I (Check "All [IN] [NE] [SC] (Last name finester Ave. ssociated Brownid r Residence Ave. ssociated Brownis & Co.	Address (Nu, White Plain oker or Dealer Listed Has So States" or ch [AZ] [IA] [NV] [SD] irst, if individant	lual) Imber and Stream, NY 10602 Included or Interest individual [AR] [KS] [NH] [TN] Idual) Imber and Stream, NY 10602	nds to Solici 1 States) [CA] [KY] [NJ] [TX]	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [{NY} _ [VT]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [[FL] _ [MI] _ [OH]	[GA] _ [MN] _ [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MO] _ [PA]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl - [AL] - [IL] - [MT] - [RI] Full Name Harris, Da Business or 222 Mama Name of As David Har	(Last name finester r Residence Ave. ssociated Brownis & Co. hich Person I (Check "All [IN] [NE] [SC] (Last name finested Ave. ssociated Brownis & Co. hich Person I hich Person I	Address (Nu, White Plain oker or Dealer Listed Has So States" or ch [AZ] [IA] [INV] [SD] Tirst, if individed Address (Nu, White Plain oker or Dealer Listed Has So	lual) Imber and Streas, NY 10602 r licited or Intereck individual [AR] [KS] [NH] [TN] lual) Imber and Streas, NY 10602	nds to Solici States [CA]	t Purchasers _ [CO] _ [LA] _ [NM] _ [UT]	- [CT] - [ME] - [[NY] - [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [[FL] _ [MI] _ [OH] _ [WV]	[GA] _ [MN] _ [OK] _ [WI]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MO] _ [PA]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl - [AL] - [IL] - [MT] - [RI] Full Name Harris, Da Business or 222 Mama Name of As David Har	(Last name finester r Residence Ave. ssociated Brownis & Co. hich Person I (Check "All [IN] [NE] [SC] (Last name finested Ave. ssociated Brownis & Co. hich Person I hich Person I	Address (Nu, White Plain oker or Dealer Listed Has So States" or ch [AZ] [IA] [INV] [SD] Tirst, if individed Address (Nu, White Plain oker or Dealer Listed Has So	lual) Imber and Streas, NY 10602 In the licited or Interect individual [AR] [KS] [NH] [TN] Itual) Imber and Streas, NY 10602 In the licited or Interect in the licited or Interec	nds to Solici 1 States) [CA] [KY] [NJ] [TX] eet, City, Sta	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT] te, Zip Code	- [CT] - [ME] - [[NY] - [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [[FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	All States _ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA]
Full Name Harris, Ch Business or 222 Mama Name of As David Har States in wl - [AL] - [IL] - [RI] Full Name Harris, Da Business or 222 Mama Name of As David Har States in wl	(Last name finester r Residence Ave. ssociated Brownia & Co. hich Person I (Check "All - [AK] - [IN] - [NE] - [SC] (Last name finite aroneck Ave. ssociated Brownia & Co. hich Person I (Check "All	Address (Nu, White Plain oker or Dealer [AZ] [IA] [IV] [SD] Tirst, if individually	mber and Street, NY 10602 r dicited or Interect individual [KS] [NH] [TN] dual) mber and Street, NY 10602 r	nds to Solici States) [CA] [KY] [NJ] [TX] eet, City, Sta	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT] te, Zip Code	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [[FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	All States _ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]

Full Name Brevig, Ch	(Last name fi	rst, if individ	ual)									
Business or 150 East 5	r Residence A 2 nd Street, 3 rd	ddress (Nu Floor, New	mber and Stre	et, City, Stat	te, Zip Code))						
Name of A Dominick	ssociated Bro & Dominick	ker or Dealer LLC			,							
States in w	hich Person L	isted Has So	icited or Inter	nds to Solicit	Purchasers							
	(Check "All	States" or che	ck individual	States)				••••			All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	■ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] • [NY] _ [VT]	_ [DE] _ [MD] • [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Full Name Evans, Gar	(Last name fi	rst, if individ	ual)									
Business of	r Residence A 2 nd Street, 3 rd	ddress (Nu Floor, New	mber and Stre York, NY 10	et, City, Stat	te, Zip Code))						
	ssociated Bro & Dominick											
States in w	hich Person L	isted Has So	icited or Inter	nds to Solicit	Purchasers							
	(Check "All	States" or che	ck individual	States)					***************************************		All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	■ [CA] _ [KY] _ [NJ] ■ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Full Name Gelman, T	(Last name fi heodore	rst, if individ	ual)									
	r Residence A iscayne Blvd.			et, City, Stat	te, Zip Code)						
	ssociated Bro & Dominick											
States in w	hich Person L	isted Has So	icited or Inter	nds to Solicit	Purchasers							
	(Check "All	States" or che	eck individual	States)				•••••			All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] _[NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	■ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _[PA] _ [PR]
Full Name Milani, Ro	(Last name fi odolfo	rst, if individ	ual)									
	r Residence A iscayne Blvd.			et, City, Sta	te, Zip Code)						
	ssociated Bro & Dominick								·····			
States in w	hich Person I	isted Has So	licited or Inte	nds to Solici	t Purchasers							
	(Check "All	States" or ch	eck individua	States)		***************************************				🗆	All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] _[NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_[CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] • [WY]	_ [ID] _ [MO] _[PA] _ [PR]

Full Name (Last name first, if individual) Hammond, William
Business or Residence Address (Number and Street, City, State, Zip Code) 4045 Orchard Rd., Smyma, GA 30080
Name of Associated Broker or Dealer Dunwoody Brokerage Services, Inc.
States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)
_[AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO] _ [CT] _ [DE] _ [DC]
Full Name (Last name first, if individual) Hammond, Richard
Business or Residence Address (Number and Street, City, State, Zip Code) 9330 Broadway Street, Pearland, TX 77584
Name of Associated Broker or Dealer EDI Financial, Inc.
States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)
_[AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO] _ [CT] _ [DE] _ [DC] _ [FL] _ [GA] _ [HI] _ [ID] _ [IL] _ [IN] _ [IN] _ [IA] _ [KS] _ [KY] ■ [LA] _ [ME] _ [MD] _ [MA] _ [MI] _ [MI] _ [MN] _ [MS] _ [MO] _ [MT] _ [NE] _ [NV] _ [NH] _ [NI] _ [NM] _ [NY] _ [NC] _ [ND] _ [OH] _ [OK] _ [OR] _ [PA] _ [RI] _ [SC] _ [SD] _ [TN] _ [TX] _ [UT] _ [VT] _ [VA] _ [WA] _ [WV] _ [WI] _ [WY] _ [PR]
Full Name (Last name first, if individual)
Business or Residence Address (Number and Street, City, State, Zip Code) 3721 Douglas Blvd., Roseville, CA 95661
Name of Associated Broker or Dealer EPlanning Securities
States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)
_[AL] _ [AK] _ [AZ] _ [AR] ■ [CA] _ [CO] _ [CT] _ [DE] _ [DC] _ [FL] _ [GA] ■ [HI] _ [ID] _ [IL] _ [IN] _ [IN] _ [IA] _ [KS] _ [KY] _ [LA] _ [ME] _ [MD] _ [MA] _ [MI] _ [MI] _ [MN] _ [MS] _ [MO] _ [MT] _ [NE] _ [NV] _ [NH] ■ [NJ] _ [NM] _ [NY] _ [NC] _ [ND] _ [OH] _ [OK] _ [OR] _ [PA] _ [RI] _ [SC] _ [SD] _ [TN] _ [TX] _ [UT] _ [VT] _ [VA] _ [WA] _ [WV] _ [WI] _ [WY] _ [PR]
Full Name (Last name first, if individual) Yellin, Saul
Business or Residence Address (Number and Street, City, State, Zip Code) Saul Yellin Associates, 18 West Mall Dr., Huntington, NY 11743
Name of Associated Broker or Dealer Steven Falk & Associates
States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)
_ [AL] _ [AK] _ [AZ] _ [AR]

	e (Last name f lexander P.	irst, if individ	lual)									
Business of	or Residence A	Address (Nu	amber and Street, Washington	eet, City, Sta	ite, Zip Code 06)						
	Associated Braker Watts In		r									
States in v	which Person	Listed Has So	licited or Inter	nds to Solici	t Purchasers							
	(Check "All	States" or ch	eck individual	l States)		***************************************					All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	■ [CA] _ [KY] ■ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] ■ [MD] _ [NC] ■ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	■ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] • [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Full Name	e (Last name f	irst, if individ	lual)									
			nber and Street		, Zip Code)					***		
Name of A	Associated Brotauk Securit	oker or Dealer									,	
			olicited or Inter	nds to Solici	it Purchasers							
			eck individual					••••••			All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] ■ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	■ [CA] _ [KY] ■[NJ] ■[TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] = [NY] _ [VT]	_ [DE] ■ [MD] _ [NC] _ [VA]	_ [DC] _[MA] _ [ND] _ [WA]	■[FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] • [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Full Name Griffin, J	e (Last name i	irst, if individ	Jual)								······································	
	or Residence		nber and Stree	t, City, State	, Zip Code)							
Name of A	Associated Br Securities	oker or Deale	<u></u> г									
States in v			olicited or Inter neck individual								All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_[CA] _[KY] _[NJ] _[TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _[NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_[FL] _[MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] ■ [MO] _ [PA] _ [PR]
Full Name Best, Tho	e (Last name tomas M.	first, if individ	iual)									
	or Residence . Babcock St., N		nber and Stree L 32901	t, City, State	, Zip Code)							
	Associated Br		r					<u> </u>				
States in v			olicited or Inte						,,,,,,		All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_[CA] _[KY] _[NJ] _[TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _[NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _[MA] _ [ND] _ [WA]	■ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _[MO] _ [PA] _ [PR]

	Paul											
		Address (Num r., Waco, TX		t, City, State	, Zip Code)	····-	······					· · · · · · · · · · · · · · · · ·
	ssociated Bro	oker or Dealer	•									
States in wh		Listed Has Sol States" or che									All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_[CA] _[KY] _[NJ] •[TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _[NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_[FL] _[MI] _[OH] _[WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _[MO] _ [PA] _ [PR]
Full Name Reyes, Ric		irst, if individ	ual)									
		Address (Numaitland, FL 3		t, City, State	, Zip Code)							
	ssociated Brople & Compa	oker or Dealer any	•					<u>_</u>	· · · · · · · · · · · · · · · · · · ·			···
States in wh		Listed Has So States" or che								🛮	All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_[CA] _[KY] _[NJ] _[TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _[NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	■ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _[MO] _ [PA] _ [PR]
Full Name	(Last name fi	irst, if individ	lual)									
		Address (Nu way, Suite 10			te, Zip Code)	 			·			
	ssociated Bro	oker or Dealer gement, Inc.	*		***********							
States in w	hich Person I	Listed Has So	licited or Inte	nds to Solici	t Purchasers			<u> </u>				
	(Check "All	States" or che	eck individua	l States)							All States	
_ [AL] ■ [IL] _ [MT] _ [RI]	(Check "All _ [AK] _ [IN] _ [NE] _ [SC]	■ [AZ] _ [IA] _ [NV] _ [SD]	eck individua _ [AR] _ [KS] _ [NH] _ [TN]	States) [CA] [KY] [NJ] [TX]	■ [CO] _ [LA] _ [NM] ■ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] = [MN] = [OK] _ [WI]	All States _ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] • [PA] _ [PR]
_ [AL] [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	■ [AZ] _ [IA] _ [NV]	_ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] ■ [NJ]	■ [CO] _ [LA] _ [NM]	_ [CT] _ [ME] _ [NY]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [FL] _ [MI] _ [OH]	_ [GA] ■ [MN] ■ [OK]	_ [H]] _ [MS] _ [OR]	_ [MO] ■ [PA]
_ [AL] ■ [IL] _ [MT] _ [RI] Full Name Whitman,	_ [AK] _ [IN] _ [NE] _ [SC] (Last name find the state of	■ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	- [CA] - [KY] - [NJ] - [TX]	■ [CO] _ [LA] _ [NM] ■ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [FL] _ [MI] _ [OH]	_ [GA] ■ [MN] ■ [OK]	_ [H]] _ [MS] _ [OR]	_ [MO] ■ [PA]
_ [AL]	_ [AK] _ [IN] _ [NE] _ [SC] (Last name find the state of	■ [AZ] _ [IA] _ [NV] _ [SD] irst, if individ Address (Nu h Floor, New oker or Dealer	_ [AR] _ [KS] _ [NH] _ [TN] dual) umber and Str York, NY 1	- [CA] - [KY] - [NJ] - [TX]	■ [CO] _ [LA] _ [NM] ■ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [FL] _ [MI] _ [OH]	_ [GA] ■ [MN] ■ [OK]	_ [H]] _ [MS] _ [OR]	_ [MO] ■ [PA]
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_ [AL]	_ [AK] _ [IN] _ [NE] _ [SC] (Last name find the state of the second that the s	■ [AZ] _ [IA] _ [NV] _ [SD] irst, if individ Address (Nu Floor, New oker or Dealer orporated	_ [AR] _ [KS] _ [NH] _ [TN] dual) umber and Str York, NY 10	_ [CA] _ [KY] ■ [NJ] ■ [TX] eet, City, Sta 0017	■ [CO] _ [LA] _ [NM] ■ [UT] te, Zip Code)	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] ■ [MN] ■ [OK] _ [WI]	_ [H]] _ [MS] _ [OR]	_ [MO] ■ [PA]

/// Inira	or Residence A	ddress (Nur Floor, New	mber and Stre York, NY 10	et, City, Stat	te, Zip Code))						
	Associated Brolecurities Incom					•						
States in w	hich Person L	isted Has Sol	icited or Inter	nds to Solicit	Purchasers						<u> </u>	
	(Check "All S	States" or che	eck individual	States)							All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ {CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] ■ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Full Name Sharon, G	(Last name fir	rst, if individu	Jal)			<u></u>				<u> </u>		
Business of 270 Head	or Residence A quarters Plaza	ddress (Nur a, East Towe	mber and Streer, 10 th Floor,	et, City, Stat , Morristow	te, Zip Code) n, NJ 07960))						
	Associated Brolecurities Incor											
States in v	vhich Person L	isted Has Sol	icited or Inter	nds to Solicit	t Purchasers							
	(Check "All S	States" or che	ck individual	States)		***************************************				🗖	All States	
_[AL] _[IL] _[MT] _[RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
	(Last name fir	rst, if individ	ual)		· · · · · · · · · · · · · · · · · · ·							
Lum, Ma	tthew											
Business of	or Residence Aisors, 929 San)						
Business of MJL Adv	or Residence A isors, 929 San Associated Bro	ita Barbara S	St., Santa Ba)						
Business of MJL Adv Name of A Girard Se	or Residence A isors, 929 San Associated Bro	ker or Dealer	St., Santa Ba	rbara, CA	93101							
Business of MJL Adv Name of A Girard Se	or Residence A isors, 929 San Associated Brokecurities which Person L	ker or Dealer	St., Santa Ba	nds to Solicit	93101 t Purchasers						All States	
Business of MJL Adv Name of A Girard Se	or Residence A isors, 929 San Associated Brokecurities which Person L	ker or Dealer	St., Santa Ba	nds to Solicit	93101 t Purchasers		_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	■ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK]	All States _ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Business of MJL Adv Name of A Girard Se States in w - [AL] - [IL] - [MT] - [RI]	or Residence A isors, 929 San Associated Brokecurities which Person L (Check "All S [IN] [NE] [SC] (Last name fire	ker or Dealer isted Has Sol States" or che [AZ] [IA] [NV] [SD]	St., Santa Ba licited or Intereck individual [AR] [KS] [NH] [TN]	nds to Solicit States) [CA] [KY] [NJ]	t Purchasers _ [CO] _ [LA] _ [NM]	_ [CT] _ [ME] _ [NY]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	■ [FL] _ [MI] _ [OH]	_ [GA] _ [MN] _ [OK]	_ [HI] _ [MS] _ [OR]	_ [MO] _ [PA]
Business of MJL Adv Name of A Girard Se States in w _ [AL] _ [IL] _ [MT] _ [RI] Full Name Lum, Mar	or Residence A isors, 929 San Associated Brokecurities which Person L (Check "All S [IN] [NE] [SC] (Last name fire	ker or Dealer isted Has Sol States" or che [AZ] [IA] [NV] [SD] rst, if individual	licited or Intereck individual [KS] [NH] [TN] mber and Stree	nds to Solicit States) [CA] [KY] [NJ] [TX]	t Purchasers [CO] [LA] [NM] [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND]	■ [FL] _ [MI] _ [OH]	_ [GA] _ [MN] _ [OK]	_ [HI] _ [MS] _ [OR]	_ [MO] _ [PA]
Business of MJL Adv Name of A Girard Se States in w _ [AL] _ [IL] _ [MT] _ [RI] Full Name Lum, Mai Business of Damitz/Se	or Residence A isors, 929 San Associated Brokecurities which Person L (Check "All Series "	ker or Dealer isted Has Sol States" or che [AZ] [IA] [IV] [SD] rst, if individual	St., Santa Ba licited or Intereck individual [AR] [KS] [NH] [TN] ual) mber and Streent, 929 Santa	nds to Solicit States) [CA] [KY] [NJ] [TX]	t Purchasers [CO] [LA] [NM] [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND]	■ [FL] _ [MI] _ [OH]	_ [GA] _ [MN] _ [OK]	_ [HI] _ [MS] _ [OR]	_ [MO] _ [PA]
Business of MJL Adv Name of A Girard Se States in w - [AL] - [IL] - [MT] - [RI] Full Name Lum, Mat Business of Damitz/Se Name of A Girard Se	or Residence A isors, 929 San Associated Brokecurities which Person L (Check "All Series "	ker or Dealer isted Has Sol States" or che [AZ] [IA] [INV] [SD] rst, if individual in Manageme ker or Dealer	licited or Intereck individual [KS] [NH] [TN] ual) mber and Street, 929 Santa	nds to Solicit States) [CA] [KY] [NJ] [TX] eet, City, State Barbara S	t Purchasers [CO] [LA] [INM] [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND]	■ [FL] _ [MI] _ [OH]	_ [GA] _ [MN] _ [OK]	_ [HI] _ [MS] _ [OR]	_ [MO] _ [PA]
Business of MJL Adv Name of A Girard Se States in w - [AL] - [IL] - [MT] - [RI] Full Name Lum, Mat Business of Damitz/Se Name of A Girard Se	or Residence A isors, 929 San Associated Brokecurities which Person L (Check "All Solid Person L [AK] [IN] [NE] [SC] (Last name for the wealth Associated Brokecurities which Person L	ker or Dealer isted Has Sol States" or che [AZ] [IA] [IV] [SD] rst, if individual in Manageme ker or Dealer	licited or Intereck individual [KS] [NH] [TN] ual) mber and Street, 929 Santa	nds to Solicit CA [KY] [NJ] [TX] eet, City, Sta	t Purchasers [CO] [LA] [NM] [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	■ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [MO] _ [PA]

Full Name Hill, Marl		irst, if individ	ual)									
		Address (Nu e, San Diego,			te, Zip Code)						
Name of A Girard Se		oker or Dealer	•								<u> </u>	
States in w	hich Person	Listed Has So	licited or Inte	nds to Solici	Purchasers							
	(Check "All	States" or che	eck individua	l States)				••••••			All States	
_[AL] _[IL] _[MT] _[RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	■ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] • [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
	(Last name fer, Richard	irst, if individ	ual)									
		Address (Nu					<u> </u>					
	ssociated Br	oker or Dealer						· 	· ···			
		Listed Has So	licited or Inte	ends to Solici	t Purchasers							
	(Check "All	States" or che	eck individua	ıl States)	•••••						All States	
_ (AL) _ (IL) _ (MT) _ (RI)	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	■ (CA) _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [Ml] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ (HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
	(Last name fi	irst, if individu	ual)									
		Address (Nu			te, Zip Code)				<u> </u>		
Name of A		oker or Dealer										
States in w	hich Person	Listed Has So	licited or Inte	ends to Solici	t Purchasers							
	(Check "All	States" or che	eck individua	ıl States)							All States	
_[AL] _[IL] _[MT] _[RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	■ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Full name Hrycyk, S		irst, if individ	ual)									
Business of	or Residence. 27 th Avenue.	Address (Nu Amarillo, TX	mber and Str X 79190	eet, City, Sta	te, Zip Code)					<u> </u>	
Name of A		oker or Dealer										
		Listed Has So	licited or Inte	ends to Solici	t Purchasers							
	(Check "Al	I States" or ch	eck individua	al States)							All States	
	(Check 7th											

		Address (Nu		eet, City, Sta	te, Zip Code)						
Name of A		oker or Deale			<u></u>	<u> </u>						
States in w	hich Person	Listed Has So	licited or Inte	nds to Solici	t Purchasers			-		··		
	(Check "All	States" or ch	eck individua	l States)							All States	
_[AL]	_ [AK]	_ [AZ]	_ [AR]	■ [CA]	_ [CO]	_ [CT]	_ [DE]	_ [DC]	_ [FL]	_ [GA]	_ [HI]	_ [ID]
_ [IL] _ [MT] _ [RI]	_ [IN] _ [NE] _ [SC]	_ [IA] _ [NV] _ [SD]	_ [KS] _ [NH] _ [TN]	_ [KY] _ [NJ] ■ [TX]	_ [LA] _ [NM] _ [UT]	_ [ME] _ [NY] _ [VT]	_ [MD] _ [NC] _ [VA]	_ [MA] _ [ND] _ [WA]	_ [MI] _ [OH] _ [WV]	_ [MN] _ [OK] _ [WI]	_ [MS] _ [OR] _ [WY]	_ [MO _ [PA] _ [PR]
		irst, if individ										
											·	
		Address (Nu ue, Tampla, l		eet, City, Sta	te, Zip Code	e)						
	associated Brone Financial	oker or Deale	r						<u>. </u>			
States in w	hich Person	Listed Has So	licited or Inte	nds to Solici	t Purchasers							
	(Check "All	States" or ch	eck individua	l States)		••••••					All States	
_[AL]	■ [AK] _ [IN]	■ [AZ]	_ [AR]	■ [CA]	■ [CO]	_ [CT]	_ [DE]	■_ [DC] ■ [MA]	■ [FL]	■ [GA]	_ [HI] _ [MS]	_ [ID] _ [MC
■ [IL] _ [MT]	■ [NE]	_ [IA] _ [NV]	_ [KS] ■ [NH]	■ [KY] ■ [NJ]	■ [LA] _[NM]	■ [ME] ■ [NY]	■ [MD] ■ [NC]	_ [ND]	■ [MI] _ [OH]	_ [MN] ■ [OK]	_ [OR]	_ [PA]
_ [RI]	■ [SC]	_ [SD]	_ [TN]	■ [TX]	_ [UT]	_ [VT]	■ [VA]	■_ [WA]	_ [WV]	_ [WI]	_ [WY]	_ [PR]
Full name	(Last name f	irst, if individ	ual)									
	<u> </u>	,										
Business of	or Residence	Address (Nu Houston, TX	ımber and Str	eet, City, Sta	te, Zip Code	e)						
Business of 1500 City	or Residence A West Blvd.,	Address (Nu	umber and Str 77042	eet, City, Sta	te, Zip Code	·)	-					
Business of 1500 City Name of A	west Blvd., Second of the seco	Address (Nu Houston, TX	umber and Str 77042									
Business of 1500 City Name of A	or Residence A West Blvd., Associated Brarities	Address (Nu Houston, TX oker or Deale	umber and Str 77042 r	ends to Solici	t Purchasers							
Business of 1500 City Name of A IMS Secu States in w	or Residence A West Blvd., Associated Brarities which Person (Check "All	Address (Nu Houston, TX oker or Deale Listed Has So I States" or ch	imber and Str 77042 r olicited or Inteleck individua _ [AR]	ends to Solici	t Purchasers	_ [CT]	_ [DE]	_ [DC]	_ [FL]		All States	_ (ID)
Business of 1500 City Name of A IMS Secu States in w - [AL] - [IL] - [MT]	or Residence A West Blvd., Associated Brarities which Person (Check "All [AK] [IN] [NE]	Address (Nu Houston, TX oker or Deale Listed Has So I States" or ch _ [AZ] _ [IA] _ [NV]	Imber and Str 77042 r olicited or Interest individual = [AR] = [KS] = [NH]	ends to Solici Il States) [CA] [KY] [NJ]	t Purchasers _ [CO] _ [LA] _ [NM]	_ [CT] _ [ME] _ [NY]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [FL] _ [MI] _ [OH]	[GA] [MN] [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MC _ [PA]
Business of 1500 City Name of A IMS Secu States in w _ [AL] _ [IL] _ [MT] _ [RI]	or Residence A West Blvd., associated Bra rities which Person (Check "All - [AK] - [IN] - [NE] - [SC]	Address (Nu Houston, TX oker or Deale Listed Has So I States" or ch [AZ] [IA] [IV] [SD]	r clicited or Interest individua [AR] [KS] [NH] [TN]	ends to Solici	t Purchasers	_ [CT]	_ [DE] _ [MD]	_ [DC] _ [MA]	_ [FL] _ [MI]		All States _ [HI] _ [MS]	_ [ID] _ [MC _ [PA]
Business of 1500 City Name of A IMS Secu States in w _ [AL] _ [IL] _ [MT] _ [RI]	or Residence A West Blvd., associated Bra rities which Person (Check "All - [AK] - [IN] - [NE] - [SC]	Address (Nu Houston, TX oker or Deale Listed Has So I States" or ch _ [AZ] _ [IA] _ [NV]	r clicited or Interest individua [AR] [KS] [NH] [TN]	ends to Solici Il States) [CA] [KY] [NJ]	t Purchasers _ [CO] _ [LA] _ [NM]	_ [CT] _ [ME] _ [NY]	_ [DE] _ [MD] _ [NC]	_ [DC] _ [MA] _ [ND]	_ [FL] _ [MI] _ [OH]	[GA] [MN] [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MC
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ull name (Last name first, if individual) ittle, Paul
ntite, rau
usiness or Residence Address (Number and Street, City, State, Zip Code) Medallion Investment Services, 2605 Thomas Dr., Panama City Beach, FL 32408
ame of Associated Broker or Dealer W Cole Financial
tates in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)
_ [AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO] _ [CT] _ [DE] _ [DC] ■ [FL] _ [GA] _ [HI] _ [ID] _ [IL] _ [IN] _ [IN] _ [IN] _ [KS] _ [KY] _ [LA] _ [ME] _ [MD] _ [MA] _ [MI] _ [MN] _ [MS] _ [MO] _ [MT] _ [NE] _ [NV] _ [NH] _ [NJ] _ [NM] _ [NY] _ [NC] _ [ND] _ [OH] _ [OK] _ [OR] _ [PA] _ [RI] _ [SC] _ [SD] _ [TN] _ [TX] _ [UT] _ [VT] _ [VA] _ [WA] _ [WV] _ [WI] _ [WY] _ [PR]
ull name (Last name first, if individual) anghofer, Stephen
usiness or Residence Address (Number and Street, City, State, Zip Code) 00 W. Douglas Ave., Wichita, KS 67202
lame of Associated Broker or Dealer fain Street Securities LLC
tates in which Person Listed Has Solicited or Intends to Solicit Purchasers
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ull name (Last name first, if individual) Valter, M. Gene
usiness or Residence Address (Number and Street, City, State, Zip Code) 2600 W. Colfax Avenue, Lakewood, CO 80215
ame of Associated Broker or Dealer ICL Financial Group, Inc.
tates in which Person Listed Has Solicited or Intends to Solicit Purchasers
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_ [AL] _ [AK] _ [AZ] _ [AR] _ [CA]
ull Name (Last name first, if individual) IcDonough, Michael M.
ousiness or Residence Address (Number and Street, City, State, Zip Code) 022 Frick Building, Pittsburgh, PA 15219
lame of Associated Broker or Dealer MetLife (FKA Walnut Street Securities, Inc.)
tates in which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)
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Full Name (Guttman, l	(Last name fi Barney	rst, if individ	ual)									
	Residence A Building, Pi		ber and Street 15219	, City, State	, Zip Code)					_		
	ssociated Bro FKA Walnut											
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Full Name (VonFeldt,	(Last name fi Neil	rst, if individ	ual)									
			ber and Street urne, FL 329		, Zip Code)							
	ssociated Bro incial Corpor		•			·				-		
			licited or Inter eck individual								All States	
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Full Name ((Last name fi	rst, if individ	ual)									
			ber and Street Vaterside Cro			or, CT 060	95-1567					
	ssociated Bro ss Securities,											
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Full Name Down, Dav	(Last name fi vid J.	rst, if individ	lual)									
	r Residence A enue, Pittsbu		ber and Street	t, City, State	, Zip Code)							
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_ [AL] _ (IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [M[] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] • [PA] _ [PR]

Full Name Decker, Ke		irst, if individ	lual)		-				-			
		Address (Num Altoona, PA		t, City, State	, Zip Code)				<u></u>			
	ssociated Broup	oker or Deale	г							·		
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Full Name Murphy, F		first, if individ	lual)	,			-		-			
		Address (Num Ioon Townsh			, Zip Code)							
	ssociated Broup	oker or Deale	r									
States in w		Listed Has So States" or ch									All States	
_ [AL] _ [IL] _ [MT] _ [RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	_ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] • [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] • [PA] _ [PR]
Full Name	(Last name f	first, if individ	lual)									
		Address (Nun		et, City, State	, Zip Code)							
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Full Name Harkavy, l		first, if individ	lual)									
		Address (Nu al Highway,			te, Zip Code)			. <u>.</u>			
	ssociated Br mer & Co.	oker or Deale	r									
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Full Name Elsas, Rog	(Last name fi	rst, if individ	ual)									
Business or 125 Broad	r Residence A Street, 15 th I	ddress (Nu Floor, New Y	mber and Stre	et, City, Stat	te, Zip Code)	,				-		
	ssociated Bro mer & Co.	ker or Dealer	•							-		
States in w	hich Person L	isted Has So	licited or Inter	nds to Solicit	Purchasers							
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Full Name Jurgaitis, I	(Last name fi Mark	rst, if individ	ual)							. .	-	
	r Residence A		iber and Street I 54456	t, City, State	, Zip Code)							
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Full Name Helba, Jr.,	(Last name fi , James	rst, if individ	lual)									
			ber and Street Bridgeville, P		, Zip Code)							
	ssociated Bro Financial P				av star							
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Full Name Korth, Dan	(Last name fi	rst, if individ	lual)		<u> </u>							<u>.</u>
	r Residence A		ber and Stree , CE 93420	t, City, State	, Zip Code)							
	ssociated Bro Capital Corpo		r			·						
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Full Name Swanson, l	(Last name fi Robert	rst, if individ	lual)									
	r Residence A ood Avenue, l		imber and Stre NJ 07450	eet, City, Sta	te, Zip Code)						
	ssociated Bro d Securities		r								···	,
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Full Name Sharma, A	(Last name fi Adarsh	irst, if individ	lual)									
	r Residence A		nber and Stree UK	t, City, State	, Zip Code)							
	ssociated Broad & Compan		r	-								
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Full Name Gray, Tho	(Last name formas A.	irst, if indivio	lual)									
	r Residence A Del Mar, Re		imber and Stron, CA 90277	eet, City, Sta	te, Zip Code)						
Name of A	Associated Bro	oker or Deale	т	·								
S.I.I. Inve	stments											
States in w	hich Person I	isted Has Sc	olicited or Inte	nds to Solici	t Purchasers							
	(Check "All	States" or ch	eck individua	l States)					· • • • • · · · · · · · · · · · · · · ·		All States	
_[AL] _[IL] _[MT] _[RI]	_ [AK] _ [IN] _ [NE] _ [SC]	_ [AZ] _ [IA] _ [NV] _ [SD]	_ [AR] _ [KS] _ [NH] _ [TN]	■ [CA] _ [KY] _ [NJ] _ [TX]	_ [CO] _ [LA] _ [NM] _ [UT]	_[CT] _ [ME] _ [NY] _ [VT]	_ [DE] _ [MD] _ [NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	_ [FL] _ [MI] _ [OH] _ [WV]	_ [GA] _ [MN] _ [OK] _ [WI]	_ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]

		Address (Nu: t, Ramsey, NJ		et, City, Star	te, Zip Code))				_		
		oker or Dealer										
Seward G	roves Richa	rd & Wells, Iı	nc.									
States in w	hich Person	Listed Has Sol	licited or Inte	nds to Solicit	Purchasers	· · · · · · · · · · · · · · · · ·						
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		Address (Nu Arbor, MI 4		eet, City, Sta	te, Zip Code)						
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States in w	hich Person	Listed Has Sol	licited or Inte	nds to Solicit	Purchasers					_		
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Full Name Kovaleff,		irst, if individ	ual)									
		Address (Nu	mber and Stre	et City Sta	te Zin Code	<u> </u>		******		····		
		York, NY 100		<i>501</i> , <i>611</i> , 514	.е, шр сосе	,						
Name of A Sky Capit		oker or Dealer										
States in w	hich Person	Listed Has Sol	licited or Inte	nds to Solici	Purchasers							
	(Check "Al	States" or che	eck individua	l States)			.,				All States	
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Full Name Frieders,		first, if individ	ual)									
Business o	r Residence	Address (Nu	mber and Str	eet, City, Sta	te, Zip Code)						
		y, Brisbane,								·		
	ssociated Br urities Corp	oker or Dealer	•									
States in w	hich Person	Listed Has So	licited or Inte	nds to Solici	t Purchasers					_		
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Full Name Leiphart,		first, if individ	lual)									
		Address (Nu Westport, CT	umber and Stre	eet, City, Stat	te, Zip Code)	,						
	Associated Brocurities Corp.	roker or Dealer	r									
States in w	which Person	Listed Has Sc	olicited or Inter	nds to Solicit	t Purchasers							· · · · · · · · · · · · · · · · · · ·
	(Check "Al"	1 States" or ch	heck individual	d States)							All States	
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Full Name Young, Sh		first, if individ	lual)									
		Address (Nu , Fresno, CA	umber and Stre	eet, City, Stat	te, Zip Code)	,						
	Associated Brocurities Corp.	roker or Dealer	r									
States in w	which Person	Listed Has Sc	olicited or Inter	nds to Solicit	t Purchasers							
	(Check "Al"	1 States" or ch	heck individual	.l States)	***************************************			••••••	***************************************		All States	
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Full Name Hudgins, S		first, if individ	lual)									
		Address (Nu oad, Dallas, T	umber and Stre	eet, City, Stat	te, Zip Code)	,						
Name of A	Associated Br	roker or Dealer	ı			•••					····	
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Full Name Graves, G	`	first, if individ	lual)									
			umber and Stree Domingo Driv									
		roker or Dealer Chartered In										
States in w	which Person	Listed Has Sc	olicited or Inter	nds to Solici	t Purchasers							
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Full Name (Last name first, if individual) Doane, John
Business or Residence Address (Number and Street, City, State, Zip Code) 401 Edgewater Place, Wakefield, MA 01880
Name of Associated Broker or Dealer Stonegate Partners, LLC
States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)
_[AL] _[AK] _[AZ] _[AR] _[CA] _[CO] _[CT] _[DE] _[DC] _[FL] _[GA] _[HI] _[ID] ■[IL] _[IN] _[IA] _[KS] _[KY] _[LA] ■ [ME] _[MD] ■ [MA] _[MI] _[MN] _[MS] _[MO] _[MT] _[NE] _[NV] ■ [NH] _[NJ] _[NM] _[NY] _[NC] _[ND] _[OH] _[OK] _[OR] _[PA] _[RI] _[SC] _[SD] _[TN] ■ [TX] _[UT] _[VT] _[VA] _[WA] _[WV] _[WI] _[WY] _[PR]
Full Name (Last name first, if individual) Bernier, Brian
Business or Residence Address (Number and Street, City, State, Zip Code) 401 Edgewater Place, Wakefield, MA 01880
Name of Associated Broker or Dealer Stonegate Partners, LLC
States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)
_[AL] _[AK] _[AZ] _[AR]
Full Name (Last name first, if individual) Mara, Jack
Business or Residence Address (Number and Street, City, State, Zip Code) 401 Edgewater Place, Wakefield, MA 01880■
Name of Associated Broker or Dealer Stonegate Partners, LLC
States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)
_ [AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO]
Full Name (Last name first, if individual) Kohlmeyer, Phillip
Business or Residence Address (Number and Street, City, State, Zip Code) 3478 Buskirk Avenue, Pleasant Hill, CA 94523
Name of Associated Broker or Dealer Summit Brokerage Services, Inc.
States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)
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Name of A		oker or Dealer										
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full name Foodman Business o	(Last name fin, David L.	irst, if individu	ual) mber and Stre				_ [VA]	_ [WA]	_ [WV]	_ [WI]	_ [WY]	_ [PK]
Full name Goodman Business of 53 Vand Name of A	(Last name find, David L. or Residence A erbilt Beach	irst, if individu Address (Nu Road, Naples oker or Dealer	mber and Street, FL 34108				_ [VA]	_ [WAJ	_ [WV]	_ [WI]	_ [WY]	_ [PK]
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Full name Goodman Business of S3 Vand Name of A FransAm States in w _ [AL] _ [IL] _ [MT]	(Last name find, David L. or Residence Associated Brownities, I. (Check "All [IN] [IN] [IN] [IN]	Address (Nu Road, Naples oker or Dealer nc. Listed Has Soil States" or che [AZ] [IA] [NV]	mber and Str i, FL 34108 licited or Inte eck individua _ [AR] _ [KS] _ [NH]	nds to Solicin	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM]	_ [CT] _ [ME] _ [NY]	_ [DE] _[MD] _[NC]	_ [DC] _ [MA] _ [ND]	• [FL]	[GA] _ [MN] _ [OK]	All States	_ [ID] _ [MO] _ [PA]
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Full name Goodman Business of 53 Vand Name of A FransAm States in w _ [AL] _ [IL] _ [MT] _ [RI] Full name Shafe, Ch Business of 31 Versa Name of A	(Last name find, David L. or Residence Associated Brace	Address (Nu Road, Naples oker or Dealer nc. Listed Has Soi States" or che [AZ] _ [IA] _ [NV] _ [SD] irst, if individual Address (Nu Maitland, FL oker or Dealer	mber and Street, FL 34108 dicited or Intereck individua [AR] [KS] [NH] [TN] all) mber and Street	nds to Solicin States) [CA] [KY] [NJ] [TX]	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT]	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _[MD] _[NC]	_ [DC] _ [MA] _ [ND]	■ [FL] _ [MI] _ [OH]	[GA] _ [MN] _ [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MO] _ [PA]
Full name Goodman Business of 53 Vand Vame of A FransAm [TansAm [TansAm [TansAm [TansAm [TansAm [TansAm [TansAm TansAm TansAm TansAm	(Last name find, David L. or Residence Associated Brown Securities, I. (Check "All — [AK] — [IN] — [NE] — [SC] (Last name finarles or Residence Anilles Drive, Massociated Brown Securities, I.	Address (Nu Road, Naples oker or Dealer nc. Listed Has Soi States" or che [AZ] _ [IA] _ [NV] _ [SD] irst, if individual Address (Nu Maitland, FL oker or Dealer	mber and Street, FL 34108 licited or Interest individua [RK] [NH] [TN] all) mber and Street	nds to Solicin I States) [CA] [KY] [NJ] [TX]	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT] te, Zip Code	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _[MD] _[NC]	_ [DC] _ [MA] _ [ND]	■ [FL] _ [MI] _ [OH]	[GA] _ [MN] _ [OK]	All States _ [HI] _ [MS] _ [OR]	_ [ID] _ [MO] _ [PA]
Full name Goodman Business of 53 Vand Vame of A FransAm [TansAm [TansAm [TansAm [TansAm [TansAm [TansAm [TansAm TansAm TansAm TansAm	(Last name find, David L. or Residence Associated Brack	Address (Nu Road, Naples oker or Dealer nc. Listed Has Soil [AZ]	mber and Street, FL 34108 dicited or Intereck individua [AR] [KS] [NH] [TN] mber and Street	nds to Solicion [CA] [KY] [NJ] [TX]	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT] te, Zip Code	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _[MD] _[NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	• [FL] _ [MI] _ [OH] _ [WV]	[GA] _ [MN] _ [OK] _ [WI]	All States _ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA]
Full name Goodman Business of 53 Vand Vame of A FransAm States in w _ [AL] _ [IL] _ [MT] _ [RI] Sull name Shafe, Ch Business of 31 Versa Name of A FransAm States in v	(Last name find, David L. or Residence Active rebilt Beach Associated Brownich Person I (Check "All [IN] [IN] [INE] [SC] (Last name finarles or Residence Anilles Drive, Massociated Brownich Person I (Check "All Associated Brownich Person I (Check "All (Check "All	Address (Nu Road, Naples oker or Dealer nc. Listed Has Sol [IA] [IN] [SD] irst, if individual faddress (Nu Maitland, FL oker or Dealer nc. Listed Has Sol States" or che	mber and Street, FL 34108 licited or Interest individua [AR] [KS] [NH] [TN] all) mber and Street 32751	nds to Solicin [CA] _ [KY] _ [NJ] _ [TX] eet, City, Sta	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT] te, Zip Code	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _[MD] _[NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	■ [FL] _ [MI] _ [OH] _ [WV]	[GA] _ [MN] _ [OK] _ [WI]	All States _ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA] _ [PR]
Full name Goodman Business of 53 Vand Vame of A FransAm [TansAm [TansAm [TansAm [TansAm [TansAm [TansAm [TansAm TansAm TansAm TansAm	(Last name find, David L. or Residence Associated Brack	Address (Nu Road, Naples oker or Dealer nc. Listed Has Soi States" or che [AZ] [IA] [INV] [SD] irst, if individualitand, FL oker or Dealer nc. Listed Has So	mber and Street, FL 34108 dicited or Intereck individua [AR] [KS] [NH] [TN] mber and Street	nds to Solicion [CA] [KY] [NJ] [TX]	te, Zip Code t Purchasers _ [CO] _ [LA] _ [NM] _ [UT] te, Zip Code	_ [CT] _ [ME] _ [NY] _ [VT]	_ [DE] _[MD] _[NC] _ [VA]	_ [DC] _ [MA] _ [ND] _ [WA]	• [FL] _ [MI] _ [OH] _ [WV]	[GA] _ [MN] _ [OK] _ [WI]	All States _ [HI] _ [MS] _ [OR] _ [WY]	_ [ID] _ [MO] _ [PA]

Full Name (Last name first, if individual) Business or Residence Address (Number and Street, City, State, Zip Code) 3500 Parkway Lane, Norcross, GA 30092 Name of Associated Broker or Dealer Triad Advisors, Inc. States in which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)..... _ [AL] **■** [AZ] _ [AR] **■** [CA] _ [CO] _ [CT] ■ [DE] [DC] _ [FL] ■ [GA] _ [ID] _ [IN] _ [KS] ■ [MA] ■ [MI] _ [MS] ■ [IL] _ [IA] _ [KY] _ [LA] ■ [MD] _ [MN] _ [MO] _ [ME] _ [NE] _ [NV] _ [NM] _ [NH] _ [ND] **■** [MT] ■ [NJ] **■** [NY] ■ [NC] ■ [OH] _ [OK] _ [OR] ■ [PA] _ [SC] _ [SD] _ [wvj _ [RI] ■ [TN] \blacksquare [TX] _ [WA] _ [UT] ■ [VA] _ [WI] ■ [WY] _ [PR] _ [VT] Full Name (Last name first, if individual) Business or Residence Address (Number and Street, City, State, Zip Code) 7730 E. Belleview Avenue, Greenwood Village, CO 80111 Name of Associated Broker or Dealer United Securities Alliance, Inc. States in which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)... _[AL] _ [AK] _ [AR] _ [CA] _ [CO] _ [CT] _ [DE] _ [FL] _ [HI] _ [ID] _ [AZ] _ [DC] _ [GA] _ [KY] _ [IN] _ [KS] _ [LA] _ [ME] _ [MD] _ [MA] _ [Mŋ̈ _ [MS] _ [IL] _ [IA] ■ [MN] **■** [MO] _ [MT] _ [NÉ] _ [NH] _ [NM] _ [OH] _ [OK] _ [OR] _ [PA] _ [NV] _ [NJ] _ [NY] _ [NC] _ [ND] _ [WY] _ [RI] _ [SC] ■ [SD] _ [TN] ■ [TX] _ [UT] _ [VT] _ [VA] _ [WA] _ [WV] _ [WI] _ [PR] Full Name (Last name first, if individual) Business or Residence Address (Number and Street, City, State, Zip Code) 8620 W. 110 St., Overland Park, KS 66210 Name of Associated Broker or Dealer VSR Financial Services, Inc. States in which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)..... All States _ [HI] _ [AK] ■ [CA] ■ [DE] _ [ID] ■ [AR] ■ [CO] _ [DC] ■ [FL] ■ [GA] _ [AL] ■ [AZ] ■ [CT] ■ [IL] _ [IN] **■** [IA] ■ [KS] _ [KY] **■** [LA] _ [ME] _ [MD] **■** [MA] _ [MI] ■ [MN] _ [MS] ■ [MO] _ [OH] _ [OK] _ [OR] _ [NV] _ [NM] _ [NH] **■** [NY] _ [NC] ■ [ND] **■** [PA] [MT] ■ [NE] ■ [NJ] _ [SC] _ [TN] ■ [TX] _ [UT] _ [VT] **■** [VA] ■ [WA] _ [WV] _ [WI] _ [WY] _ [PR] _ [RΠ _ [SD] Full Name (Last name first, if individual) Field, Robert Business or Residence Address (Number and Street, City, State, Zip Code) Long Grove Trading Co., 8125 RFD Danneil Circle, Long Grove, IL 60047 Name of Associated Broker or Dealer Waterstone Financial Group States in which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)...... _ [ID] _ [GA] _ [HI] _ [DE] _ [DC] _ [FL] _ [AL] _ [AK] _ [AZ] _ [AR] _ [CA] _ [CO] _ [CT] _ [KY] _ [MĎ] _ [MI] _ [MN] _ [IN] _ [IA] _ [KS] _ [LA] _ [ME] _ [MA] _ [MS] _ [MO] ■ [IL] _ [OH] _ [OK] _ [OR] _ [PA] _ [NM] _ [NY] _ [NC] _ [ND] _ [NE] ■ [NV] _ [NH] _ [NJ] _ [MT] _ [RI] _ [SD] _ [UT] _ [VT] _ [VA] _ [WA] _ [WV] _ [WI] _ [WY] _ [PR] _ [SC] _ [TN] _ [TX]

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Name of A		oker or Dealer							<u> </u>			
States in w	hich Person 1	Listed Has So	licited or Inte	nds to Solicit	t Purchasers							
	(Check "All	States" or ch	eck individua	States)				•••••			All States	
_[AL]	_ [AK]	■ [AZ]	_ [AR]	■ [CA]	_ [CO]	_ [CT]	_ [DE]	_ [DC]	■ [FL]	_ [GA]	■ [HI]	_ [ID]
[IL] [MT] [RI]	_ [IN] _ [NE] _ [SC]	_ [IA] ■ [NV] _ [SD]	_ [KS] _ [NH] _ [TN]	_ [KY] _ [NJ] _ [TX]	_ [LA] _ [NM] = [UT]	_ [ME] _ [NY] _ [VT]	_ [MD] _ [NC] _ [VA]	_ [MA] _ [ND] _ [WA]	_ [MI] _ [OH] _ [WV]	■ [MN] _ [OK] _ [WI]	_ [MS] _ [OR] _ [WY]	_ [MC _ [PA] _ [PR]
Full name (Bernier, M		rst, if individ	ual)					-			-	
		Address (Nu uite 150, San			te, Zip Code)						
	ssociated Bronternational	oker or Dealer Securities	1					.,,,,,				<u> </u>
States in w	hich Person I	Listed Has So	licited or Inte	nds to Solici	t Purchasers		······································				 ,	
	(Check "All	States" or ch	eck individua	l States)				***************************************			All States	
_[AL]	_ [AK]	_ [AZ]	_ [AR]	■ [CA]	_ [CO]	_ [CT]	_ [DE]	_ [DC]	_ [FL]	_ [GA]	_ [HI]	_ [ID]
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Full Name Runk, Ala		irst, if individ	lual)									
		Address (Nu I, Greenville,		eet, City, Sta	te, Zip Code)			·· <u>·</u>			· · · · · · · · · · · · · · · · · · ·
	ssociated Bro Equity Corp	oker or Deale oration	r									
States in w	hich Person	Listed Has So	licited or Inte	nds to Solici	t Purchasers							
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_ [AL]	_ [AK]	_ [AZ]	_ [AR]	_ [CA]	_ [CO]	_ [CT]	■ [DE]	_ [DC]	_ [FL]	_ [GA]	_ [HI]	_ [ID]
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	_ [SC]	_ [SD]	_ [TN]	_ [TX]	_ [UT]	_ [VT]	_ [VA]	_ [WA]	_ [WV]	_ [WI]	_ [WY]	_ [PR
_ [RI]												
_ [RI]	(Last name fi	irst, if individ	ual)									
_ [RI] Full name Business o	r Residence	Address (Nu	imber and Str	eet, City, Sta	te, Zip Code)					<u></u>	
_ [RI] Full name Business o 12221 Mer	or Residence A	Address (Nuss, TX 71251	imber and Str	eet, City, Sta	te, Zip Code)						
_ [RI] Full name Business of 12221 Mer Name of A	or Residence A	Address (Nus, TX 71251	imber and Str	eet, City, Sta	te, Zip Code)						
_ [RI] Full name Business o 12221 Mer Name of A Williams I	or Residence A rit Dr., Dalla Associated Br Financial Gr	Address (Nus, TX 71251	nmber and Str)						
_ [RI] Full name Business o 12221 Mer Name of A Williams I	or Residence A rit Dr., Dalla Associated Bro Financial Gr Which Person	Address (Nuss, TX 71251 oker or Deale	nmber and Str	nds to Solici	t Purchasers						All States	
_ [RI] Full name Business o 12221 Mer Name of A Williams I	or Residence A rit Dr., Dalla Associated Bro Financial Gr Which Person	Address (Nus, TX 71251 oker or Deale roup Listed Has So	nmber and Str	nds to Solici	t Purchasers		_ [DE] _ [MD]	_ [DC]	_ [FL] _ [MI]		All States _ [HI] _ [MS]	_ [ID]

C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

already sold. I check this box	egate offering price of securities included in this offering and the total amount Enter "0" if answer is "none" or "zero." If the transaction is an exchange offering, and indicate in the columns below the amounts of the securities offered for already exchanged.	Aggregate Offering Price	Amount Already Sold
Type of Securi	ity		
Debt		\$	\$
Equity		\$	\$
0	Common D Preferred		
Convertible Se	curities (including warrants)	\$	\$
Partnership Int	erests	\$	\$
Other (Specify	y): limited liability company membership interests	\$ <u>7,500,000*</u>	\$ <u>0</u>
Total		\$ <u>7,500,000*</u>	\$ <u>0</u>
	Answer also in Appendix, Column 3, if filing under ULOE.		
*The size of this	s offering may be increased in the Partnership's discretion to up to \$200,000,000.		
offering and the indicate the nu	ber of accredited and non-accredited investors who have purchased securities in this the aggregate dollar amounts of their purchases. For offerings under Rule 504, timber of persons who have purchased securities and the aggregate dollar amount of son the total lines. Enter "0" if answer is "none" or "zero."	Number of Investors	Aggregate Dollar Amount of Purchases
Accredited Inv	vestors	0	\$0
Non-accredite	d Investors		\$
Total (for	filings under Rule 504 only)		•
	Answer also in Appendix, Column 4, if filing under ULOE		\$
securities sold	for an offering under Rule 504 or 505, enter the information requested for all by the issuer, to date, in offerings of the types indicated, in the twelve (12) months at sale of securities in this offering. Classify securities by type listed in Part C –		
Question 1.	, ,,1	Type of Security	Dollar Amount Sold
Type of offering	ng	•	•
Rule 505			4
Regulation A.			\$
Rule 504			\$
Total			\$
securities in the	tatement of all expenses in connection with the issuance and distribution of the ais offering. Exclude amounts relating solely to organization expenses of the issuer. On may be given as subject to future contingencies. If the amount of an expenditure furnish an estimate and check the box to the left of the estimate.		
Transfer Agen	ıt's Fees		\$
Printing and E	Engraving Costs	•	\$9,000
Legal Fees		•	\$9,000
Accounting Fe	ees		\$ 7,500
Engineering F	iees	•	\$ <u>0</u>
Sales Commis	ssions (specify finders' fees separately)	•	\$ <u>420,000</u>
Other Expense	es (identify) filing fees, miscellaneous operating and marketing costs	•	\$ <u>432,000</u>
Total		•	\$ <u>877,500</u>

	of the adjusted gross proceeds to the issuer used or proposed				
and check the box to the le	own. If the amount for any purpose is not known, furnish an ft of the estimate. The total of the payments listed must equal the issuer set forth in response to Part C – Question 4.b above	the			
			Payments to Officers, Directors, & Affiliates		Payments T Others
Salaries and fees [manage	ement fee – 2 year estimate]	•	\$ <u>150,000</u>		\$
Purchase of real estate			\$		\$
Purchase, rental or leasing	and installation of machinery and equipment		\$		\$
Construction or leasing of	plant buildings and facilities		\$	0	\$
Acquisition of other busine that may be used in exchar	ess (including the value of securities involved in this offering ige for the assets or securities of another issuer pursuant to a				
merger)			\$		\$
Repayment of indebtednes	s	0	\$		\$
Working capital			\$		\$
Other (specify): investme	nts in portfolio companies	•	\$	-	\$ <u>6,397,50</u>
Fund Expenses (2 yr esti	mate)	•	\$ <u>75,000</u>	۵	\$
Column Totals					
			\$ <u>225,000</u>		\$ <u>6,397,50</u>
Total Payments Listed (col	umn totals added)				
			\$	<u>6,622,500</u>	
	D. FEDERAL SIGNAT	TURE			

C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

Signature

Title of Signer (Print or Type)

Chief Financial Officer of the Manager

Issuer (Print or Type)

Jeffrey H. Strasberg

Ridgewood Capital Fund IV-B LLC

Name of Signer (Print or Type)

Date

September 26, 2005